



# Team Audit and Merging Guidelines

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## 1.0 TEAM AUDIT AND MERGING GUIDELINES

### This document contains:

- Introduction to Team Audits and the eCompliance software (eC-Audit Tool)
- Tips for conducting Team Audits
- Merging and combining eCompliance audit files

1.1

### Introduction to Team Audits and the eC-Audit Tool

1.2.1 The eC-Audit Tool is used to document and report on COR audits. Once all data is collected, the team member files must be merged into one document.

1.2

NOTE: Auditors must be aware of and agree on formatting standards prior to data collection (see 1.2.2 and 1.2.3). This will save time and confusion for the audit report writer and ensure a smooth merge process.

1.2.2 Ensure everyone uses the same company details. Spelling and names of locations and other information must be identical to avoid conflicting information after the merge.

1.2.3 Determine and agree how each auditor will record their field notes (point form vs full sentences, excerpts from policy/procedure vs summarization, etc.).

1.2.4 If all auditors on the team are certified, only one license key and one audit report are required. An additional license key is required if a student auditor is one the team members. Student auditors must submit their own completed audit report prior to merging the audit.

1.3

### Tips for Conducting Team Audits

1.3.1 Create the base file for the lead auditor with all the directive documentation.

1.3.2 All auditors should participate in the directive documentation review so they know what to look for. However, only the lead auditor should use the base file with all this information to prevent duplication of notes.

1.3.3 Each auditor should make notes on items they need to verify during site visits/observations.

1.3.4 Each auditor should have an additional eCompliance file (\*.eca file using the same License Key) to collect their site-specific data/interviews. This file should list only the locations they will be visiting.

1.3.5 Any sites where multiple auditors are visiting **must be spelled the same** and use the same capitalization structure to merge the audits correctly.

1.3.6 The lead auditor must list additional sites that will not be visited (in the Justification Information).

1.3.7 Auditors must agree on the style of note taking. Ensure they clearly indicate sampling details in their field notes and provide supporting information for their findings.

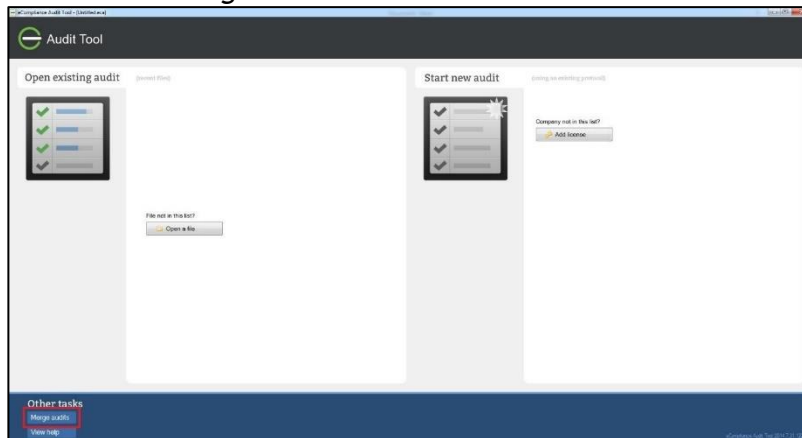
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- 1.3.8 Only the lead auditor enters scores for the directive documentation review and the sites they are visiting.
- 1.3.9 Team auditors provide scores only for the sites they visited for the operational questions and observations. Interviews are entered as normal.
- 1.3.10 Before merging the audits, the lead auditor should ensure the other team auditors have correctly applied their scores.
- 1.3.11 It is best to merge no more than three files at a time to avoid overloading the system. **Make sure to give the new file a different name than the files being merged.**

### Instructions for Merging and Combining eCompliance Audit Files

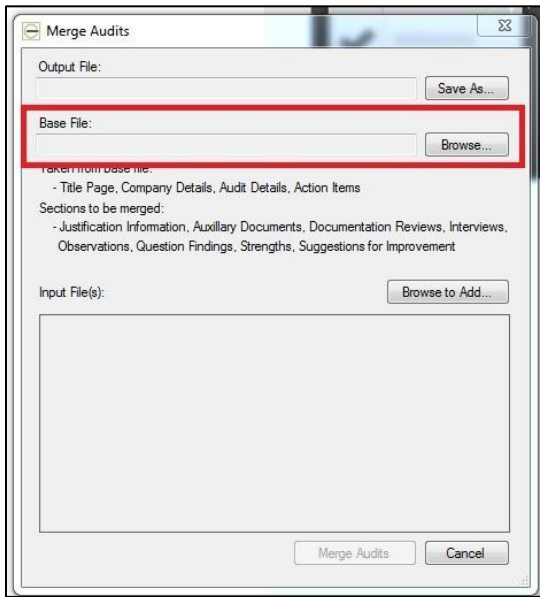
- 1.4.1 Launch eCompliance Audit Tool.
- 1.4.2 Click on the *Merge audits* button at the lower left.



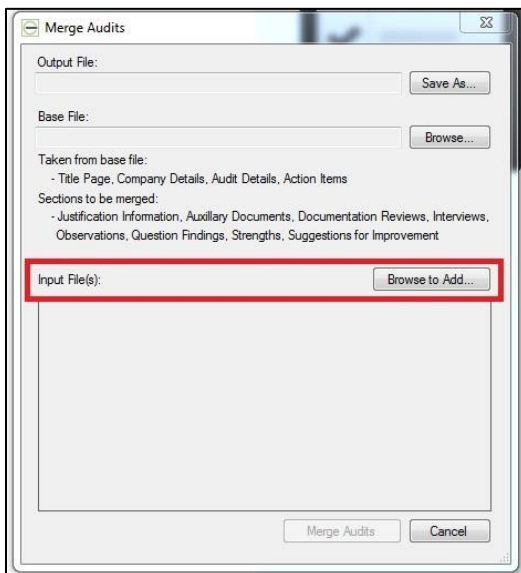
- 1.4.3 Click on *Browse* for the Base File (Lead Auditor’s file).
- 1.4.4 The Title Page, Company Details, Audit Details and Action Items are taken from the base file when merging audits. Make sure the audit by the lead auditor has complete and accurate information in those fields.

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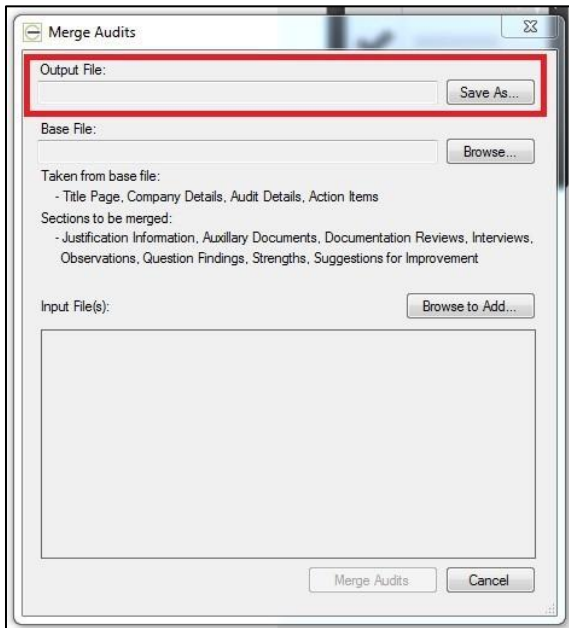
- 1.4.5 Click *Browse to Add...* for Input File(s) - audit files from other audit team members.
- 1.4.6 Ensure all site names and information in *Justification Information* are the same in each audit file (or there will be conflicting sites/data).



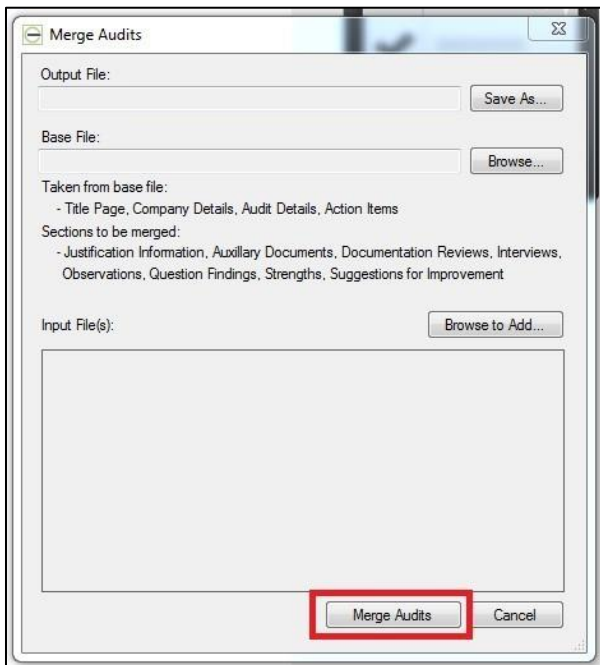
- 1.4.7 Click on *Save As* for Output File to select the location, then type the name you want for the merged audit file.

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1.4.8 Click on *Merge Audits* to complete the merge.



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